

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Christopher KEITH

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Filed

March 8, 2001

SEP 1 8 2001

Group Art Unit:

2165

Examiner

Technology Center 2100

Serial No.:

09/802,163

Confirmation No.:

1129

Title:

AUTOMATED FIRST LOOK AT MARKET EVENTS

#### INFORMATION DISCLOSURE STATEMENT

**Assistant Commissioner for Patents** Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

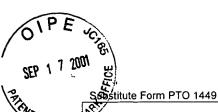
before the mailing date of a first Office Action on the merits. [x]

Respectfully submitted,

Date: September 14, 2001

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### INFORMATION DISCLOSURE STATEMENT

Sheet 1 of 2

	Application No.	09/802,163		
	Filing Date	March 8, 2001		
	Inventor	Christopher Keith		
	Group Art Unit	2165		
	Examiner	TBA		
_	Atty. Docket No.	0505-4015		

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document Number Kind Code		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
	AA	6134535		Belzberg	10-17-2000	
	AB	6105005		Fuhrer	08-15-2000	
	AC	6092056		Tull, Jr. et al.	07-18-2000	
	AD	6035287		Stallaert et al.	03-07-2000	
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	AG	6018722		Ray et al.	01-25-2000	
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	AU	5806048		Kiron	09-08-1998	

FOREIGN PATENT DOCUMENTS								
Examiner	Cite	Foreign Patent Documents			Name of Patentee	Publication Date	Relevant	Trsl.
Initials	No.	Office	Number	Kind Code	or Assignee	MM-DD-YYYY	text or Figs.	(√)
	ВА	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet	01-11-2001		
					Capital			
					Corporation			

Examiner	Date
Signature	Considered

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### Technology Center 2100

		OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS	
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl.
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu, printed March 30, 2000	
	СВ	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
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	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
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	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
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	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

	***************************************		
Examiner		Date	
Signature		Considered	

PATENT 0505-4015

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Applicant

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#### **CERTIFICATE OF MAILING**

I hereby certify that the following attached paper(s) and/or fee

1. Information Disclosure Statement

2. PTO Form 1449

3. Copies of 37 references

4. Return receipt postcard

are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance

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